

[Forms](#)[Contact List](#)[B/EWG Instructions](#)[Help Desk](#)

Find Subject Areas:

[Show Side Menu](#) **Search Subject Areas & Legacy Documents:**

Contents: Correspondence and Commitment Tracking

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

Section

Overview of Content (see section for full process)

[Introduction](#)

[1. Receiving Official Correspondence or Requests for Commitments](#)

- Determine if correspondence is official.
- Forward nonofficial correspondence to cognizant supervisor.
- Forward official correspondence to CCTS Office and appropriate manager.
- Enter the information into the CCTS database.
- Obtain required concurrences.
- Send response to requester and distribute copies.
- Forward response documentation to CCTS Office.
- CCTS Office closes item in the database.
- Continue tracking any action or implementation plan on the ATS to closure.

[2. Responding to Official Correspondence or Commitments](#)

[3. Closing Out Official Correspondence or Commitments](#)

[Definitions](#)

Exhibits

[Concurrences](#)

[Guide to the Correspondence and Commitment Tracking System \(CCTS\)](#)

Forms

[Concurrences Form](#)

Training Requirements and Reporting Obligations

This subject area does not contain training requirements.

This subject area does not contain reporting obligations.

References

None

Standards of Performance

BNL shall provide timely, accurate, and appropriate information related to its activities to staff and to the public.

BNL shall actively seek and consider the public's input on the Laboratory's decisions that affect the community and the general public.

BNL shall promptly inform the public of key upcoming decisions, progress on ongoing activities, emerging technologies, and opportunities for economic diversity that may impact the community and the general public.

Management System


This subject area belongs to the **Quality Management** management system.

[Back to Top](#)

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1.3-042004-/standard/04/0400t011.htm

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Forms
Contact List
SBMS Instructions
Help Desk

Find Subject Areas: Index ▼ Categories ▼ Alpha ▼

Show Side Menu

Search Subject Areas & Legacy Documents:

Subject Area: **Correspondence and Commitment Tracking**

Introduction: Correspondence and Commitment Tracking

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

This subject area describes how official correspondence and requests for commitments from stakeholders are controlled and coordinated through the Correspondence and Commitment Tracking System (CCTS).

The goals of the CCTS are to

- respond to stakeholder requests for information in an open, honest, ongoing, and timely manner
- provide a consistent, efficient, and well-understood process for handling written requests for information
- provide responses that are consistent, clear, and accurate
- involve the appropriate organizations at BNL and the Department of Energy (DOE) in preparing responses.

The CCTS is used to

- track commitments made by members of the Integration Council
- keep the Integration Council fully informed of the nature and scope of existing commitments and communications
- assign lead responsibility for response, and inform others who may need to know about, review or concur on a response or commitment
- cross-reference the Commitments and Corrective Action Tracking System (CCATS) when the response or commitment is detailed or extensive (e.g., action plans), and therefore not suitable for tracking and control in the CCTS.

Official correspondence is defined as any letter, fax, or electronic message that

- transmits information related to Laboratory business
- requires a response or action by senior management
- commits the Laboratory Director, other members of the Integration Council, or Laboratory staff to actions for which Council members are accountable.

Official correspondence includes the following:

- correspondence from or to the DOE (including information on Laboratory programs, changes in DOE policy, management, or structure); audit/assessment reports; written requests for information on Laboratory business; requests for action/response from any member of the Integration Council; requests that require coordinated response from more than one Council member or their organizations; requests that require a Laboratory-wide action or implementation plan; and directives or instructions to the Laboratory or Level 1 managers to take actions that will result in the commitment of money and/or human resources beyond current contractual requirements.
- Freedom of Information Act (FOIA) requests
- congressional inquiries
- state or county legislature inquiries
- correspondence with government agencies, such as the U.S. Environmental Protection Agency or other federal agencies, New York State agencies, or Suffolk County agencies

- federal agencies, New York State agencies, or Suffolk County agencies
- correspondence with Brookhaven Science Associates
- notices of violation

The following are not generally considered to be official correspondence. Associate Laboratory Directors may decide that correspondence or requests other than those listed below are also exceptions:

- routine weekly, monthly, or quarterly reports (e.g., the Monthly Discharge Monitoring Report, the quarterly Backflow Prevention Report, or quarterly construction and program/project management reports)
- personnel information
- Davis Bacon determinations and Construction Directive Authorization (CDA)
- meeting notices
- personal invitations
- general sales or informational literature.

Official requests for commitments are defined as electronic, verbal, or written agreements made by the Laboratory Director, in the name of the Director, or on behalf of the Laboratory to an official agency or external stakeholder. Commitments require BNL staff to do the following:

- provide written information, reports, updates
- execute specific actions in response to a request
- commit the Laboratory to assume a financial obligation
- commit to a course of action or activity outside of normal business activities
- alter, augment, or negate contractual agreements
- commit to a meeting at a future date.

Official correspondence or requests for commitments from stakeholders may arrive at the Laboratory in a variety of ways:

- individual staff may be contacted. For example, administrative staff or subject matter experts may receive correspondence or requests by telephone or mail.
- requests may be made through the Community Involvement and Public Affairs Division.
- requests may be forwarded to BNL from DOE.


This subject area does not cover the following topics:

- internal correspondence or internal requests for commitments
- correspondence related to personnel
- classified information and correspondence
- internal draft correspondence
- pre-decisional draft information between DOE and the Laboratory.

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[Forms](#)
[Contact List](#)
[SBMS Instructions](#)
[Help Desk](#)

Find Subject Areas: Categories Alpha

[Show Side Menu](#) Search Subject Areas & Legacy Documents:

Subject Area: **Correspondence and Commitment Tracking**

1. Receiving Official Correspondence or Requests for Commitments

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

Applicability

This information applies to all staff who receive external correspondence or requests for Laboratory commitments.

Required Procedure

Staff must follow the steps given below.

Step 1	<p>If correspondence or a request for a commitment is received, determine if it is "official." Briefly document verbal requests, including the commitment date, the requester, and a description of the request.</p> <p>Note: See the Introduction and Definitions sections for criteria for determining if the correspondence or request for commitment is official.</p> <p>Note: Integration Council members may decide that some correspondence or requests are exceptions. Such exceptions should be documented.</p>
Step 2	<p>If the correspondence or request is not official, forward it to the cognizant supervisor for action as appropriate. If the material is a draft pre-notice of an official correspondence, forward it as a draft to the appropriate manager and the Correspondence and Commitment Tracking System (CCTS) Office.</p>
Step 3	<p>If the correspondence or request is official, determine if an immediate response is required.</p>
Step 4	<p>If an immediate response is required, complete the following:</p> <ul style="list-style-type: none"> • Send a hard copy of the correspondence or request to the appropriate manager. • Make a hard copy for your use. • Forward the original correspondence or the request (and any attachments) to the CCTS Office.
Step 5	<p>If an immediate response is not required, forward the original correspondence or the request (and any attachments) to the CCTS Office.</p>

| [Continue to Next Page](#) |

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1.0-061999/standard/04/0401d011.htm

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SBMS	Forms	Contact List	SBMS Instructions	Help Desk
-------------	-------	--------------	-------------------	-----------

Find Subject Areas: Index Categories Alpha

Show Side Menu Search Subject Areas & Legacy Documents:

Subject Area: **Correspondence and Commitment Tracking**

2. Responding to Official Correspondence or Commitments

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

Applicability

This information applies to staff who are involved with responding to official correspondence or commitments.

Required Procedure

Staff follow the steps below.

Step 1	The Correspondence and Commitment Tracking System (CCTS) Office receives official correspondence and requests for commitments from individuals across the Laboratory. If the Department of Energy (DOE) has not been copied on the request, the CCTS Office copies DOE and the Brookhaven Site Office (BHSO) in the CCTS e-mail notification of stakeholder requests to DOE.
Step 2	<p>Upon receipt, the CCTS Office reviews the input, determines if action is required, determines the lead responder (the responsible Associate/Assistant Laboratory Director or Level 1 Manager), and those who need to contribute, know about, or concur on the response (see the exhibit Concurrences).</p> <p>The following additional criteria apply when determining the lead responder:</p> <ul style="list-style-type: none"> • If the request involves a regulatory compliance or Freedom of Information Act (FOIA) issue, BNL Legal Counsel is the BNL lead. • If the request involves an environmental issue or request, it will normally be assigned to either the Assistant Laboratory Director for Environment, Safety, Health & Quality (ESH&Q), or the Director of Environmental Management. If it relates to a specific facility or activity, it may be assigned to another member of the Policy Council with concurrence or assistance from others to provide information.

Step 3	<p>The CCTS Office scans the information into the database; enters the information from step 2 above; and affixes a tracking sticker that shows the lead, the actionee (if applicable), the due date, a file name, and if concurrence is required on the original correspondence or request.</p> <p>Note: If the request contains a required response date, that date is entered into the CCTS and becomes the due date. If no response date is required, a due date of 4 weeks from the date of receipt may be assigned. See step 7 to change the established due date.</p> <p>Note: If there are attachments that are too large to scan, the CCTS Office may scan the title page, signature page, or other portion. The complete hard copy of any attachment is maintained by the lead responder and copies may be obtained through that office.</p>
Step 4	The CCTS Office forwards the original correspondence or request to the assigned lead responder and sends an e-mail notification to the lead responder and to those who need to provide information for the response, concur with the response, or know about the correspondence or commitment.
Step 5	The lead responder reviews the notification received from the CCTS Office and verifies its accuracy. If there are any inaccuracies, the lead responder notifies the CCTS Office and resolves them.
Step 6	The CCTS Office contacts the lead responder's office to determine who will respond as the actionee to the correspondence or request for commitment, if necessary. The lead responder may delegate this responsibility to someone in their organization or they may complete the activity themselves.
Step 7	<p>The lead responder or the assigned actionee develops the response. See the Guidelines section below for information on the response format.</p> <p>If an extension of the established due date is required, the lead responder negotiates a new date with the requester and receives official notification regarding the agreed-upon due date (e-mail is acceptable).</p> <p>If a new due date is agreed upon, the lead responder notifies the CCTS Office of the extension by e-mail and forwards the official notification, including the tracking number in the notification message.</p>
Step 8	The lead responder provides the draft response for all stakeholder requests to the Assistant Laboratory Director (ALD) for Community, Education, Government & Public Affairs (CEGPA).
Step 9	The ALD for CEGPA reviews the draft response for content and clarity and provides feedback to the lead responder.
Step 10	If concurrence is required for any request, the lead responder or the assigned actionee obtains the necessary concurrences, using the Concurrences Form .
Step 11	The lead responder or their designee sends the response to the requester. The lead responder or the assigned actionee gives copies of the response and

concurrence sheet to the CCTS Office. The lead responder or the assigned actionee does all internal and external distributions. The original correspondence or request is maintained by the lead responder's organization.

Guidelines

In preparing responses to official correspondence or requests for Laboratory commitments, see the exhibit [Guide to the Correspondence and Commitment Tracking System \(CCTS\)](#) and follow the guidelines below:

- The subject line of the response should reference the originating request. For example, if the correspondence was from DOE and titled "Request for Information on RHIC Operations," the subject line of the response should read, "Response to the Request for Information on RHIC Operations (Letter Malosh to Ozaki, October 30, 1998)."
- The tracking number (e.g., File CC1988-**) should be added to the bottom of the distribution list.
- The full title and date of any attachments should be included.
- If the response is an action plan or implementation plan that is tracked by the Commitments and Corrective Action Tracking System (CCATS), the CCATS tracking number should be included on the response.
- All attachments should have numbered pages and include a date and file name in the footer.


| [Go to Previous Page](#) | [Continue to Next Page](#) |

[Back to Top](#)

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1.5-082004/standard/04/0402d011.htm

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Forms
Contact List
SBMS Instructions
Help Desk

Find Subject Areas: Index ▼ Categories ▼ Alpha ▼

Show Side Menu **Search Subject Areas & Legacy Documents:**

Subject Area: **Correspondence and Commitment Tracking**

3. Closing Out Official Correspondence or Commitments

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

Applicability

This information applies to those staff assigned responsibility for official correspondence or commitments.

Required Procedure

The staff indicated must follow the steps given below.

Step 1	<p>The lead responder forwards a hard copy of the response, any attachments, and the concurrences form (if required) to the Correspondence and Commitment Tracking System (CCTS) Office within one week of completion. See the guidelines below for information on the response format.</p> <p>Note: The lead responder retains the original correspondence or request for commitment and the original copy of the response.</p>
Step 2	<p>The CCTS Office reviews the hard copy of the response when it is received to determine if any further commitments have been made. If new commitments are made, they are entered into the CCTS database (see the section Receiving Official Correspondence or Requests for Commitments).</p>
Step 3	<p>The CCTS Office closes the correspondence or commitment in the database.</p>
Step 4	<p>If the response involves an action plan or implementation plan that is tracked by the Commitments and Corrective Action Tracking System (CCATS), continue tracking the response until it is closed.</p>

Guidelines

In preparing responses to official correspondence or requests for Laboratory commitments, the guidelines listed below should be followed:

- The subject line of the response should reference the originating request. For example, if the correspondence was from DOE and titled "Request for Information on RHIC Operations," the subject line of the response should read, "Response to the Request for Information on RHIC Operations (Letter Malosh to Ozaki, October 30, 1998)."
- The tracking number (e.g., File CC1988-**) should be added to the bottom of the distribution list.
- The full title and date of any attachments should be included.
- If the response is an action plan or implementation plan that is tracked by the [Commitments and](#)

[Corrective Action Tracking System \(CCATS\)](#), the CCATS tracking number should be included on the response.

- All attachments should have numbered pages and include a date and filename in the footer.

| [Go to Previous Page](#) |

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1.0-061999/standard/04/0403d011.htm

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SBMS	Forms	Contact List	SBMS Instructions	Help Desk
-------------	-----------------------	------------------------------	-----------------------------------	---------------------------

Find Subject Areas:

[Show Side Menu](#) **Search Subject Areas & Legacy Documents:**

Subject Area: **Correspondence and Commitment Tracking**

Concurrences

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

Responses to official correspondence or commitments require concurrences in the following situations:

1. If a response commits more than the lead responder's organization to actions or the expenditure of funds, then the leads from all involved organizations need to concur.
2. If the response is being drafted for the Director's signature, then the appropriate Deputy Director needs to concur.
3. When a response represents a change in Laboratory policies, protocols, or contract requirements or transmits critical data or information to a stakeholder, the Director and/or Deputy Directors need to concur.

When they are required, concurrences are documented on the [Concurrence Form](#). The individuals indicated need to concur before a response can be sent. When applicable, the form must be completed and attached to the completed response to official correspondence or requests for commitments.

[Back to Top](#)

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1.3-042004/standard/04/0401e011.htm

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[Disclaimer](#)

SBMS	Forms	Contact List	SBMS Instructions	Help Desk
-------------	-------	--------------	-------------------	-----------

Find Subject Areas: Index Categories Alpha

Show Side Menu Search Subject Areas & Legacy Documents:

Subject Area: **Correspondence and Commitment Tracking**

Guide to the Correspondence and Commitment Tracking System (CCTS)

Effective Date: **April 2004**

Point of Contact: [CCTS Coordinator](#)

Guide to the Correspondence and Commitment Tracking System (CCTS) is provided as a [Word](#) file.

[Back to Top](#)

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Guide to the Correspondence and Commitment Tracking System (CCTS)

KEY RESPONSIBILITIES

Director is responsible for:

- Ensuring Laboratory commitments are met on time and supported with appropriate resources;
- Delegating responsibility for response to other senior managers through the CCTS Office;
- Informing Policy Council members when he/she has responded to or made commitments on behalf of the Laboratory;
- Communicating any responses/commitments he/she makes to the CCTS Office, and
- Maintaining hard copies of original correspondence and responses for which the Director assumes responsibility as the lead.

The Policy Council members are responsible for:

- Responding to correspondence or commitments at the request of the Director;
- Notifying the CCTS Office if other Council members must be involved in the response but were not copied on e-mail notification from the CCTS Office;
- Coordinating responses and concurrence on all correspondence and commitments for which they are responsible;
- Forwarding correspondence to the CCTS Office in a timely fashion;
- Negotiating with requestor in writing for extensions in response/action due dates;
- Transmitting a copy of completed response with copy of signed concurrence sheet (if required) to CCTS Office;
- Maintaining original correspondence and a hard copy of the response for which they were the lead responder;
- Forwarding response(s) to the Director for signature, when appropriate, in time to meet deadline dates;
- Ensuring that any further actions are tracked by the responsible organizations and input to ATS as required.

Executive Assistants are responsible for:

- Executing the day-to-day tracking of correspondence and commitments for appropriate Policy Council member;
- Date stamping incoming correspondence;
- Reviewing incoming correspondence and determining whether supervisor must see or act on the correspondence immediately;
- Making a hard copy of correspondence for supervisor when immediate action is required and forwarding original correspondence to CCTS office;
- When immediate response is not required, forward original to CCTS Office within one day of receipt.

Correspondence and Commitment Office is responsible for:

- Incorporating official correspondence into the CCTS;
- CCTS Coordinator designates lead, concurrence managers and others who may need to contribute to response or be informed of request;
- Input of all correspondence into CCTS and return originals to lead responder;
- Sending e-mail notification to appropriate parties;
- Monthly tracking of outstanding correspondence and commitments;
- Entering responses into the CCTS and closing out written and verbal commitments (verbal commitments are closed on e-mail notification from lead responder);
- Reviewing response and determining if further commitments or actions are required;
- Entering follow-up commitments into CCTS or referencing ATS when appropriate.

ACCESSING CCTS (Contact: Lois Marascia X8600)

Set up a Commitment Domain Account by contacting ITD's Help Desk (X5522). *It is recommended that the account be set up with the user name and password that you normally use to access your system.*

1. Access BNL's Home Page on the Internet. The CCTS address is <http://commitment.bnl.gov>.
2. Type in your user name and password.
3. Click on Find BNL Commitments.
4. Select the commitments you wish to view.
5. The system now allows you to narrow the commitments you view by selecting a responsible ALD, due date, etc. Enter any search parameters that you want and click on "submit."
6. From the main tool bar you can print the results.

If you wish to view documents, you need Adobe Acrobat Reader. When you first go to the Web address for CCTS, there is an option that allows you to download Adobe readers. You must also install the program. Once Acrobat reader is installed, you can view and print a hard copy of the electronic file by clicking on **View Initial PDF** or **View Response PDF**.

WHAT IS CCTS?

Correspondence and Commitment Tracking System (CCTS) is an electronic database used to document and track all official correspondence with, and high level commitments made by, members of the BNL Policy Council.

WHAT IS “OFFICIAL CORRESPONDENCE?”

Official correspondence is any letter, fax, or e-mail that transmits information related to Laboratory business, requires a response/action by senior management, commits the Director, other members of the Policy Council, or Laboratory staff to actions for which Council members are accountable. Official correspondence includes, but is not limited to: correspondence from DOE and other federal, state and local agencies or governments, Freedom of Information Requests, Notices of Violation, and requests from community stakeholders.

Exceptions include:

- ***Routine reporting (e.g., quarterly, monthly, weekly);***
- ***Personnel information;***
- ***Davis-Bacon determinations and construction directive authorizations (CDAs);***
- ***Financial plans;***
- ***ORPS reporting;***
- ***Meeting notices;***
- ***General sales/information literature;***
- ***Personal invitations.***

WHAT IS AN “OFFICIAL COMMITMENT?”

An official commitment is any agreement made by the Director, in the name of the Director, or on behalf of the Laboratory, to an external stakeholder (both governmental and community). It can include an agreement to provide written information, to execute specific actions, to assume a financial obligation, or to meet at a future date. Commitments can be included in letters, faxes, or e-mails. Verbal commitments should be summarized in a memo or e-mail.

WHO CONTROLS ENTRY TO THE DATABASE?

Access to the database, e-mail notification of items that must be completed or require senior management attention, and closure of completed items are the responsibility of the Correspondence and Commitment Tracking System office (Bldg. 460, Suite 102). You are able to view the correspondence and commitments, print reports and a copy of the correspondence from the Internet at <http://commitment.bnl.gov> if you have a domain account and Adobe Acrobat Reader. (See instructions for [ACCESSING CCTS.](#))

WHAT DO I NEED TO DO?

A) When you receive official correspondence you should

1. Date stamp the correspondence;
2. Review it to see if it is time critical and if it has been sent to the appropriate person;
3. If it is not time critical, forward the correspondence to the CCTS office;
4. If it is time critical, copy the correspondence for your supervisor and forward the original to the CCTS office.

- B) Each day you should browse the Internet site for new correspondence for which your supervisor is responsible, or correspondence/commitments that are due that day.
- C) Return a copy of the response, or an e-mail indicating that a commitment has been closed to the CCTS Office. When you want the CCTS Office to close a correspondence or commitment please be sure to:
1. Insert the CC tracking number that appears on the original correspondence, or the commitment numbers from the internet site, as a file number after the distribution list;
 2. Include an Assessment Tracking System (ATS) tracking number if the response includes an action or implementation plan; and
 3. Include a text reference to the originating correspondence or commitment in the subject line.

The official hard copy of the originating document and the response are to be filed by the Lead ALD office. The CCTS Office will maintain only electronic records. All internal (BNL) and external distributions are your responsibility for Records Management purposes.

WHAT IS THE CCTS OFFICE RESPONSIBLE FOR DOING?

The CCTS Office will enter the information into the database, scan the document and attach a tracking sticker to the official correspondence and return the original to you. The Office will review reports monthly and will report overdue open items to the ALDs. It will also check to see that an appropriate response has been provided, and to determine if other commitments have been made. Commitments made in a response will either be assigned a new tracking number or you will be notified that the commitments need to be included in ATS. All detailed action plans and implementation plans must be tracked through ATS.

The CCTS Office will also notify other members of the Policy Council if they need to

- a) provide input for a response or commitment;
- b) be informed of the correspondence or commitment;
- c) concur with a response.

SBMS	Forms	Contact List	SBMS Instructions	Help Desk
-------------	-------	--------------	-------------------	-----------

Find Subject Areas:

[Show Side Menu](#) Search Subject Areas & Legacy Documents:

Subject Area: **Correspondence and Commitment Tracking**

Concurrences Form

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

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[Back to Top](#)

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Concurrences Form

Concurrence for Official Correspondence and Commitments			
Tracking No.:		Due Date:	
Signatory:			
Concurrence (check if required)	Name	Signature	Date Signed
	P. Chaudhari		
	P. Bond		
	M. Bebon		
	H. Benveniste*		
	S. Dierker		
	G. Fess		
	D. Gibbs*		
	W. Hempfling		
	L. Hill		
	R. James		
	T. Kirk		
	M. Lynch		
	A. McNerney*		
	B. Sack		
	J. Tarpinian		

* Interim ALD



Forms

Contact List

BWM Instructions

Help Desk

Find Subject Areas:

Index ▼

Categories ▼

Alpha ▼

Show Side Menu

Search Subject Areas & Legacy Documents:

Definitions: Correspondence and Commitment Tracking

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

Term	Definition
actionee	The individual who coordinates the response or actions necessary to close a correspondence for the lead responder, including coordinating concurrence from others. The actionee listed may be the lead responder, but at a minimum, should be a Level 2 Manager.
Assessment Tracking System (ATS)	A process and database system used to track assessments and corrective action plans.
Correspondence and Commitment Tracking System (CCTS)	A Laboratory-wide database used to document and track all official correspondence and high-level requests for commitments.
Correspondence and Commitment Tracking System (CCTS) Coordinator	Reviews official correspondence or commitments; initially designates the lead responder, actionee, and individuals who need to concur; and enters the information into the tracking database.
lead responder	Normally a member of the Policy Council who takes responsibility for ensuring that a response is provided or a commitment is met. The lead responder may choose to respond or close out the commitment personally or may assign this responsibility to another individual in their organization (see actionee).
official commitments	<p>Electronic, verbal, and written agreements made by the Laboratory Director, in the name of the Director, or on behalf of the Laboratory to an official agency or external stakeholder. Commitments require BNL staff to</p> <ul style="list-style-type: none"> • provide written information, reports, updates • execute specific actions in response to a request • commit the Laboratory to assume a financial obligation


	<ul style="list-style-type: none"> • commit the Laboratory to assume a financial obligation • commit to a course of action or activity outside of normal business activities • alter, augment, or negate contractual agreements • commit to a meeting at a future date.
official correspondence	<p>Any letter, fax, or electronic message that</p> <ul style="list-style-type: none"> • transmits information related to Laboratory business • requires a response or action by senior management • commits the Laboratory Director, other members of the Policy Council, or Laboratory staff to actions for which Council members are accountable. <p>The following are not generally considered to be official correspondence:</p> <ul style="list-style-type: none"> • Routine weekly, monthly, or quarterly reports (e.g., the Monthly Discharge Monitoring Report); • Personnel information; • Davis-Bacon determinations and Construction Directive Authorization (CDA); • Meeting notices; • Personal invitations; • General sales or informational literature. <p>Associate/Assistant Laboratory Directors may decide that other correspondence or requests are exceptions.</p>
Policy Council	See the Laboratory organizational chart for members of the Policy Council.
signatory	The individual who officially signs the correspondence.
stakeholder	Individuals or groups with an interest in BNL's activities or services. Includes regulators, elected officials, local residents, employees, facility users, the scientific community, environmental groups, and the public.

[Back to Top](#)

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1.3-042004/standard/04/0400I011.htm

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Forms	Contact List	SBMS Instructions	Help Desk
-------	--------------	-------------------	-----------

Find Subject Areas: Index Categories Alpha

Show Side Menu Search Subject Areas & Legacy Documents:

Subject Area: **Correspondence and Commitment Tracking**

Concurrences

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

Responses to official correspondence or commitments require concurrences in the following situations:

1. If a response commits more than the lead responder's organization to actions or the expenditure of funds, then the leads from all involved organizations need to concur.
2. If the response is being drafted for the Director's signature, then the appropriate Deputy Director needs to concur.
3. When a response represents a change in Laboratory policies, protocols, or contract requirements or transmits critical data or information to a stakeholder, the Director and/or Deputy Directors need to concur.

When they are required, concurrences are documented on the [Concurrence Form](#). The individuals indicated need to concur before a response can be sent. When applicable, the form must be completed and attached to the completed response to official correspondence or requests for commitments.

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1.0-061999/standard/04/0401e011.htm

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Concurrence for Official Correspondence and Commitments			
Tracking No.:		Due Date:	
Signatory:			
Concurrence (check if required)	Name	Signature	Date Signed
	P. Paul		
	T. Sheridan		
	M. Bebon		
	F. Federmann		
	G. Fess		
	L. Hill		
	R. James		
	T. Kirk		
	M. Lynch		
	R. Osgood		
	B. Sack		
	N. Volkow		

SBMS	Forms	Contact List	SBMS Instructions	Help Desk
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Find Subject Areas: Index Categories Alpha

Show Side Menu Search Subject Areas & Legacy Documents:

Subject Area: **Correspondence and Commitment Tracking**

Guide to the Correspondence and Commitment Tracking System (CCTS)

Effective Date: **April 2004**

Point of Contact: [CCTS Coordinator](#)

Guide to the Correspondence and Commitment Tracking System (CCTS) is provided as a [Word](#) file.

[Back to Top](#)

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1.3-042004/standard/04/0403e011.htm

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Guide to the Correspondence and Commitment Tracking System (CCTS)

KEY RESPONSIBILITIES

Director is responsible for:

- Ensuring Laboratory commitments are met on time and supported with appropriate resources;
- Delegating responsibility for response to other senior managers through the CCTS Office;
- Informing Policy Council members when he/she has responded to or made commitments on behalf of the Laboratory;
- Communicating any responses/commitments he/she makes to the CCTS Office, and
- Maintaining hard copies of original correspondence and responses for which the Director assumes responsibility as the lead.

The Policy Council members are responsible for:

- Responding to correspondence or commitments at the request of the Director;
- Notifying the CCTS Office if other Council members must be involved in the response but were not copied on e-mail notification from the CCTS Office;
- Coordinating responses and concurrence on all correspondence and commitments for which they are responsible;
- Forwarding correspondence to the CCTS Office in a timely fashion;
- Negotiating with requestor in writing for extensions in response/action due dates;
- Transmitting a copy of completed response with copy of signed concurrence sheet (if required) to CCTS Office;
- Maintaining original correspondence and a hard copy of the response for which they were the lead responder;
- Forwarding response(s) to the Director for signature, when appropriate, in time to meet deadline dates;
- Ensuring that any further actions are tracked by the responsible organizations and input to ATS as required.

Executive Assistants are responsible for:

- Executing the day-to-day tracking of correspondence and commitments for appropriate Policy Council member;
- Date stamping incoming correspondence;
- Reviewing incoming correspondence and determining whether supervisor must see or act on the correspondence immediately;
- Making a hard copy of correspondence for supervisor when immediate action is required and forwarding original correspondence to CCTS office;
- When immediate response is not required, forward original to CCTS Office within one day of receipt.

Correspondence and Commitment Office is responsible for:

- Incorporating official correspondence into the CCTS;
- CCTS Coordinator designates lead, concurrence managers and others who may need to contribute to response or be informed of request;
- Input of all correspondence into CCTS and return originals to lead responder;
- Sending e-mail notification to appropriate parties;
- Monthly tracking of outstanding correspondence and commitments;
- Entering responses into the CCTS and closing out written and verbal commitments (verbal commitments are closed on e-mail notification from lead responder);
- Reviewing response and determining if further commitments or actions are required;
- Entering follow-up commitments into CCTS or referencing ATS when appropriate.

ACCESSING CCTS (Contact: Lois Marascia X8600)

Set up a Commitment Domain Account by contacting ITD's Help Desk (X5522). ***It is recommended that the account be set up with the user name and password that you normally use to access your system.***

1. Access BNL's Home Page on the Internet. The CCTS address is <http://commitment.bnl.gov>.
2. Type in your user name and password.
3. Click on Find BNL Commitments.
4. Select the commitments you wish to view.
5. The system now allows you to narrow the commitments you view by selecting a responsible ALD, due date, etc. Enter any search parameters that you want and click on "submit."
6. From the main tool bar you can print the results.

If you wish to view documents, you need Adobe Acrobat Reader. When you first go to the Web address for CCTS, there is an option that allows you to download Adobe readers. You must also install the program. Once Acrobat reader is installed, you can view and print a hard copy of the electronic file by clicking on **View Initial PDF or View Response PDF**.

WHAT IS CCTS?

Correspondence and Commitment Tracking System (CCTS) is an electronic database used to document and track all official correspondence with, and high level commitments made by, members of the BNL Policy Council.

WHAT IS “OFFICIAL CORRESPONDENCE?”

Official correspondence is any letter, fax, or e-mail that transmits information related to Laboratory business, requires a response/action by senior management, commits the Director, other members of the Policy Council, or Laboratory staff to actions for which Council members are accountable. Official correspondence includes, but is not limited to: correspondence from DOE and other federal, state and local agencies or governments, Freedom of Information Requests, Notices of Violation, and requests from community stakeholders.

Exceptions include:

- ***Routine reporting (e.g., quarterly, monthly, weekly);***
- ***Personnel information;***
- ***Davis-Bacon determinations and construction directive authorizations (CDAs);***
- ***Financial plans;***
- ***ORPS reporting;***
- ***Meeting notices;***
- ***General sales/information literature;***
- ***Personal invitations.***

WHAT IS AN “OFFICIAL COMMITMENT?”

An official commitment is any agreement made by the Director, in the name of the Director, or on behalf of the Laboratory, to an external stakeholder (both governmental and community). It can include an agreement to provide written information, to execute specific actions, to assume a financial obligation, or to meet at a future date. Commitments can be included in letters, faxes, or e-mails. Verbal commitments should be summarized in a memo or e-mail.

WHO CONTROLS ENTRY TO THE DATABASE?

Access to the database, e-mail notification of items that must be completed or require senior management attention, and closure of completed items are the responsibility of the Correspondence and Commitment Tracking System office (Bldg. 460, Suite 102). You are able to view the correspondence and commitments, print reports and a copy of the correspondence from the Internet at <http://commitment.bnl.gov> if you have a domain account and Adobe Acrobat Reader. (See instructions for [ACCESSING CCTS](#).)

WHAT DO I NEED TO DO?

A) When you receive official correspondence you should

1. Date stamp the correspondence;
2. Review it to see if it is time critical and if it has been sent to the appropriate person;
3. If it is not time critical, forward the correspondence to the CCTS office;
4. If it is time critical, copy the correspondence for your supervisor and forward the original to the CCTS office.

- B) Each day you should browse the Internet site for new correspondence for which your supervisor is responsible, or correspondence/commitments that are due that day.
- C) Return a copy of the response, or an e-mail indicating that a commitment has been closed to the CCTS Office. When you want the CCTS Office to close a correspondence or commitment please be sure to:
1. Insert the CC tracking number that appears on the original correspondence, or the commitment numbers from the internet site, as a file number after the distribution list;
 2. Include an Assessment Tracking System (ATS) tracking number if the response includes an action or implementation plan; and
 3. Include a text reference to the originating correspondence or commitment in the subject line.


The official hard copy of the originating document and the response are to be filed by the Lead ALD office. The CCTS Office will maintain only electronic records. All internal (BNL) and external distributions are your responsibility for Records Management purposes.

WHAT IS THE CCTS OFFICE RESPONSIBLE FOR DOING?

The CCTS Office will enter the information into the database, scan the document and attach a tracking sticker to the official correspondence and return the original to you. The Office will review reports monthly and will report overdue open items to the ALDs. It will also check to see that an appropriate response has been provided, and to determine if other commitments have been made. Commitments made in a response will either be assigned a new tracking number or you will be notified that the commitments need to be included in ATS. All detailed action plans and implementation plans must be tracked through ATS.

The CCTS Office will also notify other members of the Policy Council if they need to

- a) provide input for a response or commitment;
- b) be informed of the correspondence or commitment;
- c) concur with a response.

	Forms	Contact List	SBMS Instructions	Help Desk
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Subject Area: **Correspondence and Commitment Tracking**

Concurrences Form

Effective Date: **March 1999**

Point of Contact: [CCTS Coordinator](#)

The Concurrences Form is provided as a [Word](#) file.

[Back to Top](#)

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1.4-062004/standard/04/0402e011.htm

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Concurrences Form

Concurrence for Official Correspondence and Commitments			
Tracking No.:		Due Date:	
Signatory:			
Concurrence (check if required)	Name	Signature	Date Signed
	P. Chaudhari		
	P. Paul		
	M. Bebon		
	H. Benveniste*		
	S. Dierker		
	G. Fess		
	D. Gibbs*		
	W. Hempfling		
	L. Hill		
	R. James		
	T. Kirk		
	M. Lynch		
	A. McNerney*		
	B. Sack		
	J. Tarpinian		

* Interim ALD

SBMS	Forms	Contact List	SBMS Instructions	Help Desk
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Revision History: Correspondence and Commitment Tracking

Point of Contact: [CCTS Coordinator](#)

Revision History of this Subject Area

Date	Description	Management System
August 2004 -- Minor Rev. 1.5	Brookhaven Site Office (BHSO) replaces Brookhaven Area Office (BAO); Peter Bond replaces Peter Paul on the Concurrences Form .	Quality Management
June 2004 -- Minor Rev. 1.4	The Concurrences Form was revised; the asterisk denoting M. Bebon's status as Interim Deputy Director for Operations was deleted.	Quality Management
March 1999	This information was developed by a team using the process for Standards-Based Management development.	Quality Management

[Back to Top](#)

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1.5-082004/standard/04/0400a011.htm

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